

The Connecticut Department of Energy & Environmental Protection

Prequalification Application for the Broadband, Equity, Access, and Deployment (BEAD) Grant Program

The State of Connecticut, through the Department of Energy & Environmental Protection (DEEP), requires the following certifications from all prospective applicants who wish to become prequalified to participate in the Connecticut Broadband, Equity, Access, and Deployment (BEAD) grant program. The certifications align with the questions in the Prequalification Application.

This form is for an officer, director, or equivalent, authorized to obligate the entity and enter into agreements for the organization. For each certification requirement, certify by putting your initials in the box at right, and then complete and sign the attestation at the end of the document. [For certifications 3.10Ai and 3.10Bi, please provide the requested information in place of initialing.]

Certification	Initials
Financial Capability	
2.1C If applicant is a public entity and does not prepare audited financial statements, certify that financial documentation provided is true and correct.	
2.2 Certify that 1) applicant is aware of and understands the letter of credit or performance bond obligations and processes for the Program and that 2) applicant has the qualifications and resources to comply with those obligations (including, as applicable, obtaining the required letter of commitment and letter of credit from an eligible financial institution in an amount of no less than 25 percent of the subaward amount, per NTIA’s requirements). See BEAD Letter of Credit Waiver (11/01/23, NTIA Notice of Programmatic Waiver, https://broadbandusa.ntia.gov/funding-programs/policies-waivers/BEAD-Letter-of-Credit-Waiver).	
2.3A Please certify that applicant understands that the BEAD program will use a reimbursement model, requiring subgrantees to commit resources to construction networks prior to receiving grant award funding as reimbursement for eligible expenses.	
2.3B Certify that applicant possesses the necessary financial qualifications, capabilities, and resources to comply with all program requirements.	
Management and Organizational Capability	
3.4 Certify that the applicant 1) possesses the operational expertise, capabilities, and resources to successfully complete and operate a BEAD funded project; and 2) has at least two years of experience providing voice, broadband, or electric transmission or distribution services to end users or is a wholly owned subsidiary of a parent entity that has two years of operational experience in the communications industry	
3.5 Certify that the applicant is fully and properly licensed in Connecticut to conduct funded activities and comply with all post-award obligations.	
3.5C Certify that applicant has the processes and resources in place to employ an appropriately skilled and credentialed workforce and that key technical personnel and technical team members are current on all required training, licensing, and license renewals.	

Certification	Initials
3.6B Certify that if applicant chooses to contract resources, all contracted resources will have the relevant and necessary skills to perform the project work.	
3.7 If applicant is a provider of electricity transmission or distribution services without two years of experience offering communications services, certify that the operating or financial reports provided in response to Question 3.7 in the Portal are true and correct copies of the reports originally provided to the financial institution or regulatory agency.	
<p>3.9A Certify that:</p> <ol style="list-style-type: none"> 1) Applicant has a cybersecurity risk management plan (the plan) in place that is either: (a) operational, if the applicant is providing service prior to the award of the grant; or (b) ready to be operationalized upon providing service, if the applicant is not yet providing service prior to the grant award • The plan reflects the latest version of the National Institute of Standards and Technology (NIST) Framework for Improving Critical Infrastructure Cybersecurity and the standards and controls set forth in Executive Order 14028 and specifies the security and privacy controls being implemented 2) The plan will be reevaluated and updated on a periodic basis and as events warrant 3) The plan will be submitted to DEEP prior to the allocation of funds. If the applicant makes any substantive changes to the plan, a new version will be submitted to the DEEP within 30 days. 	
3.9Ai How frequently is the cybersecurity plan reevaluated and updated? Please write the typical number of months between plan updates in the box at right.	
<p>3.9B Certify that:</p> <ol style="list-style-type: none"> 1) The applicant has a Supply Chain Risk Management (SCRM) plan in place that is either: (a) operational, if the applicant is already providing service at the time of the grant; or (b) ready to be operationalized, if the applicant is not yet providing service at the time of grant award 2) The plan is based upon the key practices discussed in the NIST publication NISTIR 8276, Key Practices in Cyber Supply Chain Risk Management: Observations from Industry and related SCRM guidance from NIST, including NIST 800-161, Cybersecurity Supply Chain Risk Management Practices for Systems and Organizations and specifies the supply chain risk management controls being implemented 3) The plan will be reevaluated and updated on a periodic basis and as events warrant 4) The plan will be submitted to DEEP prior to the allocation of funds. If the applicant makes any substantive changes to the plan, a new version will be submitted to DEEP within 30 days. Please take note that, if the applicant becomes a subgrantee, DEEP must provide a subgrantee’s plan to NTIA upon NTIA’s request. 	

Certification	Initials
<p>3.9Bi How frequently is the Supply Chain Risk Management (SCRM) plan reevaluated and updated? Please write the typical number of months between plan updates in the box at right.</p>	
<p>Compliance with Applicable Laws</p>	
<p>4.1 Certify that the applicant understands and will comply with the Environmental and Historic Preservation requirements outlined in the BEAD NOFO and the DEEP solicitation for this program (link to NOFO: https://broadbandusa.ntia.doc.gov/sites/default/files/2022-05/BEAD%20NOFO.pdf).</p>	
<p>4.1A Certify that the applicant has no history of failure to comply with environmental and historic preservation requirements. If applicant cannot certify such a history, please answer question 4.1B in the Portal.</p>	
<p>4.2 Certify that the applicant understands and will comply with the Build America, Buy America Act (BABA) requirements as outlined in both the BEAD NOFO (link to NOFO: https://broadbandusa.ntia.doc.gov/sites/default/files/2022-05/BEAD%20NOFO.pdf) including Section 9 of the Secure and Trusted Communications Networks Act of 2019 (47 U.S.C. § 1608) (see the regularly updated “List of Equipment and Services Covered By Section 2 of The Secure Networks Act,” FCC, https://www.fcc.gov/supplychain/coveredlist) and the DEEP solicitation for this program. Also see the BEAD BABA waiver at https://broadbandusa.ntia.doc.gov/funding-programs/broadband-equity-access-and-deployment-bead-program/BEAD-BABA-RFC. If relevant, this certification also represents that the applicant has no history of failure to comply BABA requirements. If applicant has a history of failure to comply with BABA requirements, please answer question 4.1B in the Portal.</p>	
<p>4.5A. If applicant (or its parent company) provided a voice and/or broadband service for at least two years, certify that applicant has filed Federal Communication Commission Forms 477 and the Broadband DATA Act submission, as applicable and required, and otherwise complied with the Commission’s rules and regulations.</p>	
<p>4.7A Please acknowledge that the applicant plans to comply with the legal opinion letter requirement in the Scoring Phase by submitting a letter signed by an attorney regarding the applicant’s qualifications and past compliance with federal and state laws by initializing at right.</p>	
<p>4.7B Please certify that the applicant will permit workers to create worker-led health and safety committees that management will meet with upon reasonable request, and that the applicant will recertify this annually for the duration of the BEAD implementation period. Also please certify that applicant understands that any successful applicant will be contractually obligated to require it and any its contractors or subcontractors on BEAD deployment projects to allow for the creation of worker-led health and safety committees that management will meet with upon reasonable request. Please note that if this box is not checked, the application will not be considered complete.</p>	

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<p>4.7C Certify that applicant has or will have processes in place to monitor and support compliance with specific state and federal safety regulations applicable to work on BEAD program projects, including federal Occupational Safety and Health Act and related state and federal regulations.</p>	
<p>4.7D Certify that there is no collusion, bias or conflict of interest or provide the necessary ownership and partnership disclosures pursuant to 47 CFR 1.2105(a):</p> <p>(1) that the applicant is the real party in interest in this application and that there are no agreements or understandings other than those specified in this application, which provide that someone other than the applicant shall have an interest in the application</p> <p>(2) that the applicant is aware that, if upon inspection, this application is shown to be defective, the application may be dismissed without further consideration, and any fees forfeited. Other penalties may also apply</p> <p>(3) except as explicitly provided in the rules for the BEAD program and in this application, that the applicant has not entered into and will not enter into any explicit or implicit agreements or understandings of any kind with parties not identified in this application regarding the amount to be bid, bidding strategies, or the particular area on which the applicant or other parties will or will not bid</p> <p>(4) that the applicant, or any party to this application, is not subject to a denial of federal benefits pursuant to Section 5301 of the Anti-Drug Abuse Act of 1988</p> <p>(5) that the applicant is and will, during the pendency of its application(s), remain in compliance with any service specific qualifications applicable to the licenses on which the applicant intends to bid including, but not limited to, the qualifications in this application regarding financial, technical, and organizational capabilities</p> <p>(6) that the applicant is not in default on any payment to the State of Connecticut and that it is not delinquent on any non-tax debt owed to any federal agency</p>	
<p>4.7E Certify that the applicant will not engage in prohibited communications as defined in 47 CFR 1.2105(a) starting from the date of submission of prequalification application until final award</p>	
Fair Labor Practices	
<p>5.1A Please initial at right to acknowledge that in the main BEAD application, applicant will be required to supply information about the applicant’s history of compliance or non-compliance with federal and state labor and employment and unfair trade practices laws in the past five years. Further information regarding Fair Labor Practices will also be requested in the main BEAD application.</p>	
<p>5.3A Certify that that the applicant, its contractors, and its subcontractors, have existing labor and employment practices in place, including but not limited to measures to ensure compliance with the binding legal commitments in Section 9.2 of the Connecticut Initial Proposal Volume 2, and commits to annual recertification for the duration of BEAD implementation</p>	
<p>5.3B Certify compliance with relevant workplace protections including the Occupational Safety and Health Act, the Fair Labor Standards Act, and Connecticut labor and employment laws</p>	

Certification	Initials
5.3 Certify that applicant understands and commits to compliance with applicable provisions of Conn. Gen. Stat. § 31-53 and the Contract Work Hours and Safety Standards Act and related regulations (29 CFR Part 5, https://www.ecfr.gov/current/title-29/subtitle-A/part-5) for contracts in excess of one hundred thousand dollars for employment of mechanics or laborers and commit to compliance with applicable state prevailing wage law for applicable classifications of labor. Note that Certified Payroll will be submitted using form WWS-CPI located on the Connecticut Department of Labor Website: Certified Payroll Form WWS - CPI (see “What are Certified Payroll Form WWS - CPI?” Connecticut Department of Labor, August 21, 2023, https://portal.ct.gov/dol/knowledge-base/articles/wage-and-workplace-standards/certified-payroll-form-wws-cpi).	

I, the undersigned, am an officer, director, or equivalent, authorized to obligate my entity and enter into agreements for my organization. I understand that the above certifications and assurances, which I have initialed, do not guarantee funding. I further understand that a subaward agreement, which may contain terms and conditions, will be executed prior to project funds being awarded. I further understand that, if the information provided by my organization to DEEP in the application is materially false or the application information cannot be verified, no grant funds will be awarded under this program. Finally, to the best of my knowledge, the information in this application, including all certifications and assurances as well as information input into the portal and uploaded to the portal, is true and correct.

Signature of Applicant:

Printed name of Applicant:

Title of Applicant and Name of Employer:

Contact information:

Date:
